



UNITED STATES

DECLARATION FOR PATENT APPLICATION

Docket No. _____

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: _____

Process for the preparation of 5-formylphthalide

the specification of which

(check one)

☐ is attached hereto☒ was filed on January 31, 2004 asApplication Serial No. 10/776,626

and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by an amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations §1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)

01830518.5EP02.08.2001

Priority Claimed

Yes No

(Number)

(Country)

(Day/Month/Year Filed)

Yes No

(Number)

(Country)

(Day/Month/Year Filed)

Yes No

(Number)

(Country)

(Day/Month/Year Filed)

I hereby claim the benefit under Title 35, United States Code §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations §1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

PCT/EP02/08551July 29, 2002

(Application Serial No.)

(Filing Date)

(Status-patented, pending, abandoned)

(Application Serial No.)

(Filing Date)

(Status-patented, pending, abandoned)

I hereby appoint as my attorney and agent **Aaron B. Karas, Reg. No. 18,923, Samson Helfgott, Reg. No. 23,072, Linda S. Chan, Reg. No. 42,400, Michael Markowitz, Reg. No. 30,659, Brian Myers, Reg. No. 46,947, Harris A. Wolin, Reg. No. 39,432, Emma Shleifer, Reg. No. 29,734, Serle Mosoff, Reg. No. 25,900 and Thomas J. Bean, Reg. No. 44,528** to prosecute this application and to transmit all business in the Patent and Trademark Office connected therewith.

Address all correspondence to: **** CUSTOMER NUMBER 026304 ****

Katten Muchin Zavis Rosenman

575 Madison Avenue

New York, New York 10022-2585

Telephone No.: (212) 940-8800

Docket No.: _____

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor Leone DALL'ASTA
Inventor's Signature *Leone Dall'Asta* Date April 8, 2004
Residence Milano - Italy Citizenship Italian
Post Office Address Via Friuli 11 - 20135 Milano - Italy

Full name of second joint inventor, if any Giovanni COTTICELLI
Second Inventor's Signature *Giovanni Cotticelli* Date April 8, 2004
Residence Cernusco sul Naviglio (Milano) - Italy Citizenship Italian
Post Office Address Via Penati 8 - 20063 Cernusco sul Naviglio (Milano) - Italy

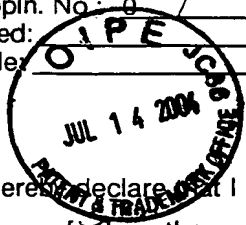
Full name of third joint inventor, if any _____
Third Inventor's Signature _____ Date _____
Residence _____ Citizenship _____
Post Office Address _____

Full name of fourth joint inventor, if any _____
Fourth Inventor's Signature _____ Date _____
Residence _____ Citizenship _____
Post Office Address _____

Full name of fifth joint inventor, if any _____
Fifth Inventor's Signature _____ Date _____
Residence _____ Citizenship _____
Post Office Address _____

Inventor(s): _____
Appln. No.: 0 / _____ or Patent No.: _____
Filed: _____ or Issued: _____
Title: _____

(Atty. Dkt. _____)
M# / Client Ref. _____



VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 CFR 1.9(d) and 1.27(c)) - **SMALL BUSINESS CONCERN**

I hereby declare that I am

- ☒ the owner of the small business concern identified below:
☐ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN INEQSINTASA

ADDRESS OF CONCERN Via Cantonale 658A

77450 POSCHIAVO NEL CANTONE DEL GRIGIONI - SWITZERLAND

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention entitled: Process for the preparation of 5-formylphthalide by inventor(s) Leone Dall'Asta and Giovanni Cotticelli described in

X -> ☐ the Specification filed herewith,
one -> ☒ Application No. 0 10/776,626, filed January 31, 2004.
box -> ☐ Patent No. _____, issued _____.

If the rights held by the above identified small business concern are not exclusive, each small entity individual, concern or organization having rights to the invention is listed in (A) and (B) below and no rights to the invention are held by any person, other than the inventor, who could not qualify under 37 CFR 1.9(c) as an independent inventor if that person had made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

(A) FULL NAME of assignee/licensee/grantee/conveyee* _____

ADDRESS _____

proper box: ☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

(B) FULL NAME of assignee/licensee/grantee/conveyee* _____

ADDRESS _____

proper box: ☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

*NOTE: Separate verified statement is required from each person, concern or organization named in (A) and (B) above having rights to the invention, averring to his/her/its status as a small entity. (37 CFR 1.27)

I acknowledge the duty to file, in this case, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Luigi Zanetti

TITLE OF PERSON OTHER THAN OWNER President of the board

ADDRESS OF PERSON SIGNING Via Cantonale 658a, 7745 Poschiavo

SIGNATURE [Signature] DATE 8.3.04